



IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re Application of: Gregory H. Lambrecht et al.
Serial No.: 10/787,057
Filed: 02/25/2004
For: CARDIAC VALVE PROCEDURE METHODS AND
DEVICES
Group Art Unit: 3761
Examiner: Unknown
Attorney's Docket No.: VIA-3 CON

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November 9, 2004

(DATE OF DEPOSIT)

James A. Sheridan

(NAME OF ATTORNEY)

(SIGNATURE)

November 9, 2004

(DATE OF SIGNATURE)

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Commissioner for Patents
PO Box 1450
Alexandria, VA 22313-1450

Sir:

INFORMATION DISCLOSURE STATEMENT

Pursuant to 37 CFR 1.56, 1.97 and 1.98, Applicants hereby submit documents and information which may be considered material to the examination of this application. These documents and information are listed on the accompanying forms.

Copies of documents 1-76, which are listed on the accompanying Form PTO/SB/08 (substitute for Form PTO-1449) (five pages), were previously submitted to, or cited by the Office, in U.S. Patent Application Serial No. 09/700,167 filed 11/09/00. Accordingly, copies of these documents do not accompany this submission.

Applicants respectfully request that these documents be fully considered by the U.S. Patent and Trademark Office during the examination of this application and printed on any patent which may issue on this application. Applicants also respectfully request that a copy of the Form PTO/SB/08 (substitute for Form PTO-1449) (five pages), submitted herewith, as considered and initialed by the Examiner, be returned to the undersigned with the next communication.

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It is believed that this disclosure complies with the requirements of 37 CFR 1.56, 1.97 and 1.98. If for any reason the Examiner considers otherwise, it is respectfully requested that the undersigned be contacted by the Examiner by telephone in order that any deficiencies may be expeditiously remedied.

This Information Disclosure Statement is being filed before the mailing date of a first Office Action on the merits. No certification or fee is believed to be required.

The enclosed documents may have markings thereon. Applicants are not presently aware of the source of those markings, and no significance is meant to be attached thereto.

Please charge any additional fees due in connection with this submission, or credit any overpayment, to Deposit Account No. 16-0221. A duplicate copy of this submission is enclosed for the convenience of the Examiner.

Thank you.

Respectfully submitted,

James A. Sheridan 11/9/04

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Substitute for form 1449A/PTO		NOV 12 2004		Complete if Known	
INFORMATION DISCLOSURE STATEMENT BY APPLICANT (use as many sheets as necessary)				Application Number	10/787,057
				Filing Date	02/25/2004
				First Named Inventor	Gregory H. Lambrecht et al.
				Group Art Unit	3761
				Examiner Name	unknown
Sheet	1	of	5	Attorney Docket Number	VIA-3 CON

U.S. PATENT DOCUMENTS						
Examiner Initials ¹	Cite No. ¹	U.S. Patent Document		Name of Patentee or Applicant of Cited Document	Date of Publication of Cited Document MM-DD-YYYY	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear
		Number	Kind Code ² (if known)			
	1	5,941,896		Kerr	08-24-1999	
	2	5,947,995		Samuels	09-07-1999	
	3	5,954,741		Fox	09-21-1999	
	4	5,954,745		Gertler et al.	09-21-1999	
	5	5,957,949		Leonhardt et al.	09-28-1999	
	6	5,976,172		Homsma et al.	11-02-1999	
	7	5,980,555		Barbut et al.	11-09-1999	
	8	5,989,281		Barbut et al.	11-23-1999	
	9	3,671,979		Mouloupoulos	06-27-1972	
	10	3,996,938		Clark, III	12-14-1976	
	11	4,056,854		Boretos et al.	11-08-1977	
	12	4,425,908		Simon	01-17-1984	
	13	4,527,549		Gabbay	07-09-1985	
	14	4,902,272		Milder et al.	02-20-1990	
	15	5,108,419		Reger et al.	04-28-1992	
	16	5,160,342		Reger et al.	11-03-1992	
	17	5,163,953		Vince	11-17-1992	
	18	5,254,097		Schock et al.	10-19-1993	
	19	5,300,086		Gory et al.	04-05-1994	
	20	5,324,304		Rasmussen	06-28-1994	

FOREIGN PATENT DOCUMENTS								
Examiner Initials [*]	Cite No. ¹	Foreign Patent Document			Name of Patentee or Applicant of Cited Document	Date of Publication of Cited Document MM-DD-YYYY	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear	T ⁶
		Office ³	Number ⁴	Kind Code ⁵ (if known)				
	21		EP 0408245		American Medical...	01/16/1991		
	22		WO 99/33414		Veseley	07/08/1999		
	23		WO 99/15223		Cardeon Corp.	04/01/1999		
	24		WO 00/47139		Heartport, Inc.	08/17/2000		

Examiner Signature	Date Considered
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*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

¹ Unique citation designation number. ² See attached Kinds of U.S. Patent Documents. ³ Enter Office that issued the document, by the two-letter code (WIPO Standard ST.3). ⁴ For Japanese patent documents, the indication of the year of the reign of the Emperor must precede the serial number of the patent document. ⁵ Kind of document by the appropriate symbols as indicated on the document under WIPO Standard ST. 16 if possible. ⁶ Applicant is to place a check mark here if English language Translation is attached.

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Sheet	3	of	5		

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		Number	Kind Code ² (if known)			
	45	6,692,513		Streeter et al.	02-17-2004	
	46	5,876,367		Kaganov et al.	03-02-1999	
	47	5,893,869		Barnhart et al.	04-13-1999	
	48	5,718,725		Sterman et al.	02-17-1998	
	49	5,910,154		Tsugita et al.	06-08-1999	
	50	5,911,734		Tsugita et al.	06-15-1999	
	51	5,925,063		Khosravi	07-20-1999	
	52	5,928,261		Ruiz	07-27-1999	
	53	5,935,139		Bates	08-10-1999	
	54	5,549,665		Vesely et al.	08-27-1996	
	55	5,728,153		Menkis et al.	03-17-1998	
	56	5,840,081		Andersen et al.	11-24-1998	
	57	6,371,970		Khosravi et al.	04-16-2002	
	58	6,309,399		Barbut et al.	10-30-2001	
	59	6,235,045		Barbut et al.	05-22-2001	
	60	6,334,869		Leonhardt et al.	01-01-2002	
	61	6,395,014		Macoviak et al.	05-28-2002	
	62	5,827,237		Macoviak et al.	10-27-1998	
	63	5,827,324		Cassell et al.	10-27-1998	
	64	6,375,670		Greenhalgh, E.Skott	04-23-2002	

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		Office ³	Number ⁴	Kind Code ⁵ (if known)				
	65	WO	00/44313		Lambrecht et al.	08-03-2000		

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		Application Number	10/787,057		
		Filing Date	02/25/2004		
		First Named Inventor	Gregory H. Lambrecht et al		
		Group Art Unit	3761		
		Examiner Name	unknown		
		Attorney Docket Number	VIA-3 CON		
Sheet	5	of	5		

OTHER PRIOR ART – NON PATENT LITERATURE DOCUMENTS			
Examiner Initials ¹	Cite No. ¹	Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and/or country where published.	T ²
	69	Antonatos PG, et al., Effect of the positioning of a balloon valve in the aorta on coronary flow during aortic regurgitation, J Thorac Cardiovasc Surg; 1984 Jul; 88(1): 128-33	
	70	Antonatos PG, et al., Intraventricular Pumping At The Mitral Ring In Mitral Regurgitation; Life Support Syst; 1985; 3 Suppl 1:167-71	
	71	Antonatos PG, et al., The Use Of A Small Intra-Aortic Balloon To Increase Coronary Flow; Life Support Syst; 1983 Jul-Sep 1(3): 151-64	
	72	Frederiksen J, et al. Use Of A Counterpulsation Balloon As A Substitute For The Pulmonic Valve: A New Application; Ann Thorac Surg; 1986 Jun; 41(6): 616-21	
	73	Matsubara T, et al., Balloon Catheter With Check Valves For Experimental Relief Of Acute Aortic Regurgitation; Am Heart J; 1992 Oct; 124(4): 1002-8	
	74	Moulopoulos SD, et al., Intra-Aortic Balloon Pump For Relief Of Aortic Regurgitation. Experimental Study, J Thorac Cardiovasc Surg; 1980 Jul;80(1):38-44	
	75	Siwek LG, et al., Acute Control Of Pulmonary Regurgitation With A Balloon "Valve". An experimental investigation, J Thorac Cardiovasc Surg; 1985 Sep;90(3):404-9	
	76	Cartwright RS, et al., Combined Replacement Of Aortic And Mitral Valves; J.A.M.A., April 7, 1962;86-90.	

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